



OCCUPATIONAL CERTIFICATE: INVESTMENT ADVISOR

(SAQA ID: 105021)



Qualification Title:
Occupational Certificate
Investment Advisor



SAQA Qualification ID
105021



NQF Level
Level 6



Total Credits
213



Duration
12 Months



Training Days
16 Days spread over 12 Months



Blended
Online with Face to face/remote contact sessions



Assessment Quality Partner
INSETA

Purpose of the qualification

The purpose of this qualification is to prepare a learner to operate as an Investment Adviser.

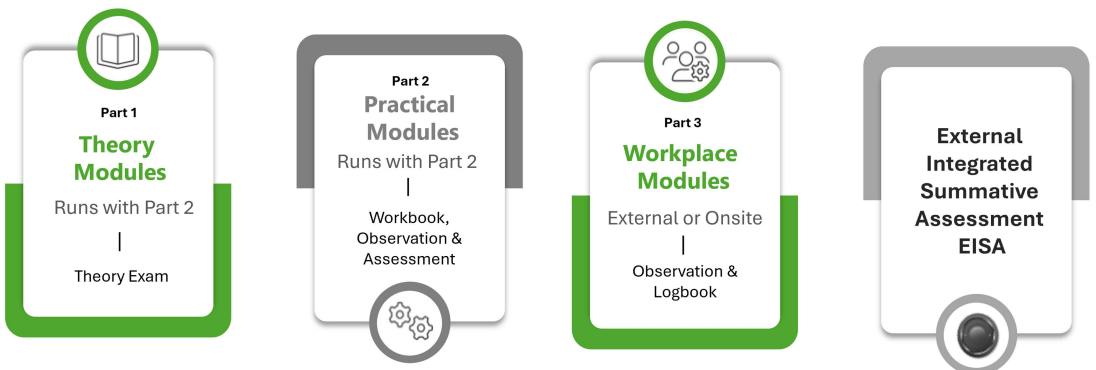
Target Audience

The Qualification is relevant for learners in Retirement Funds, Medical Schemes and Intermediaries (Range: includes but not limited to Financial Advisors, Personal Financial Planners, Financial Services Call Centre Agents, Client Service Providers, Brokers, Broker Consultants, Retirement Fund Consultants, Retirement Fund Administrators, Trust Fund Officers, Product Developers, Consultants who advise on product structure of Retirement Funds, Principal Officers, Trustees, Medical Scheme Consultants, Senior Administrators, Retail Mangers who support Advisors and have a back office function, Collective Investment Scheme Managers, Account Executives and Compliance Officers).

Entry Requirements

NQF Level 4 qualification with Communication.

Course Structure



1. Knowledge Modules(89 Credits).

MODULE ID	Title	NQF Level	Credits
KM-01	Overview of the Investment Advisory Industry.	5	13
KM-02	Regulatory requirements for advising clients regarding insurance and investments.	5	17
KM-03	Fundamentals of Investments.	5	30



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KM-04	Principles of Providing Advice to clients regarding Investments.	6	29
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2. Practical Skill Modules(92 Credits).

MODULE ID	Title	NQF Level	Credits
PM-01	Research, analyse and conduct due-diligence of investment opportunities.	6	42
PM-02	Advise clients regarding potential investment opportunities.	6	41
PM-03	Facilitate the implementation of agreed investment decisions.	6	9



3. Work Experience Modules(32 Credits).

MODULE ID	Title	NQF Level	Credits
WM-01	Participate in the processes of advising on investment decisions over a period of six months.	5	32



Course Outcome

- Provide advice to clients to grow and protect wealth through appropriate Investments and related methods.

Assessment Methods

- **Internal Assessments:** Learners will be assessed through practical demonstrations, role-playing scenarios, and written tests covering all knowledge and practical skill modules.



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- **Workplace Evidence:** Learners must provide documentary evidence of their practical work, signed off by supervisors, to demonstrate competence in real-world settings.
- **Final Integrated Summative Assessment:** A final assessment to evaluate the learner's comprehensive understanding and application of the course material.

Certification

- **Occupational Certificate:** Investment Advisor certificate awarded by the QCTO upon successful completion of the EISA.

Articulation Options

Horizontal Articulation

- **Occupational Certificate:** Financial Advisor; Level 6, 515 Credits.

Vertical Articulation

- Advanced Diploma in Credit Management, National Qualifications Framework (NQF) Level 7.
- Advanced Diploma in Management in Financial Planning, NQF Level 7.





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